

FORM PTO-1390

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371**

ATTORNEY DOCKET NUMBER

IN-5538

U.S. APPLICATION NO. (IF KNOWN SEE 37 CFR 5)

097926532

INTERNATIONAL APPLICATION NO.

INTERNATIONAL FILING DATE

PRIORITY DATE CLAIMED

PCT/EP00/04807

26. May 2000 (26.05.00)

29. May 1999 (26.05.99)

TITLE OF INVENTION: COATING MATERIAL THAT CAN BE CURED THERMALLY OR BY ACTINIC RADIATION, AND ITS USE

APPLICATION(S) FOR DO/EO/US: Uwe MEISENBURG, Heinz-Peter RINK, Karl-Heinz JOOST, and Hubert BAUMGART

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a FIRST submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371 (b) and PCT Articles 22 and 39(1).
4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☒ have been transmitted by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US)
6. ☒ A translation of the International Application into English (35 U.S.C. 371(C)(2)).
7. ☒ Amendment to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☒ have not been made and will not be made
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ A translation of the annex to the International Preliminary Examination Report under PCT Article 36

Items 11. to 16. below concern other document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included
13. ☒ A FIRST preliminary amendment.
☐ A SECOND or SUBSEQUENT preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A Change of power of attorney and/or address letter.
16. ☒ Other items or information:

A copy of the cover sheet from the PCT Published Application

A copy of the cover sheet for the Priority Document

The attached correspondence is being hand deliver by Cantwell and Paxton, Inc. to Box PCT Commissioner for Patents, Washington, D.C. 20231.

| | | | | | |
|---|--------------|--|------------|--|-----------------|
| U.S. APPLICATION NO. (If known see 37 CFR 1.53) 09/926532 | | INTERNATIONAL APPLICATION NO. PCT/EP00/04807 | | ATTORNEY'S DOCKET NUMBER IN-5538 | |
| 17. <input checked="" type="checkbox"/> The following fees are submitted | | | | CALCULATIONS PTO USE ONLY | |
| Basic National Fee (37 CFR 1.492(a)(1)-(5)): Neither international preliminary examination fee (37 CFR 1.482) Nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO..... | | | | \$970.00 | |
| International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO..... | | | | \$860.00 | |
| International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.44(a)(2)) paid to USPTO..... | | | | \$690.00 | |
| International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4)..... | | | | \$670.00 | |
| International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) | | | | \$ 96.00 | |
| ENTER APPROPRIATE BASIC FEE AMOUNT = | | | | \$890.00 | |
| Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)). | | | | \$ | |
| Claims | Number Filed | Number Extra | Rate | | |
| Total Claims | 17 - 20 = | 0 | X \$18.00 | \$ | |
| Independent claims | 01 - 03 = | 0 | X \$84.00 | \$ | |
| Multiple dependent claims(s) (if applicable) | | | + \$290.00 | \$ | |
| TOTAL OF ABOVE CALCULATION = | | | | \$890.00 | |
| Reduction by 1/2 for filing by small entity, if applicable. Verified Small Entity statement must also be filed. (Note 37 CFR 1.9, 1.27, 1.28). | | | | \$ | |
| SUBTOTAL = | | | | \$890.00 | |
| Processing fee of \$130.00 for furnishing the English translation later the <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)). | | | | \$ | |
| TOTAL NATIONAL FEE = | | | | \$890.00 | |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property + | | | | \$ 40.00 | |
| TOTAL FEES ENCLOSED = | | | | \$ | |
| | | | | Amount to be: | \$930.00 |
| | | | | refunded | |
| | | | | Charged | |

a. ☐ A check in the amount of \$_____ to cover the above fees is enclosed.

b. ☒ Please charge my Deposit Account No. 23-3425 in the amount of \$930.00 to cover the above fees
 A triplicate copy of this sheet is enclosed.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any
 overpayment to Deposit Account No. 23-3425. A triplicate copy of this sheet is enclosed.

NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:
BASF CORPORATION
Patent Department
26701 Telegraph Road
Southfield, Michigan 48034-2442
(248) 948-2020
Customer No. 26922

SIGNATURE

Mary E. Golota

Name

36,814

REGISTRATION NUMBER

09/926532

PATENT

(Practitioner's Docket No. IN-5538)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Uwe MEISENBURG et al.

Serial No.: This application is a National
Phase of Patent Application PCT/EP00/04807
filed 26. May 2000.

Group Art Unit: Not Assigned

Filed: November 16, 2001

Examiner: Not Assigned

For: COATING MATERIAL THAT CAN BE CURED THERMALLY OR BY ACTINIC RADIATION,
AND ITS USE

Patent*: Issue Date

Reexamination No.: Issue Date

Reissue: Issue Date

*NOTE: Insert name(s) of inventor(s) and title for patent.

Assistant Commissioner for Patents
Washington, D.C. 20.231

**STATEMENT UNDER 37 C.F.R. § 3.73(b)-
ESTABLISHING RIGHT OF ASSIGNEE TO TAKE ACTION**

CERTIFICATION UNDER 37 C.F.R. §§ 1.8(a) and 1.10*
(When using Express Mail, the Express Mail label number is mandatory;
Express Mail certification optional.)

I hereby certify that, on the date shown below, this correspondence is being:

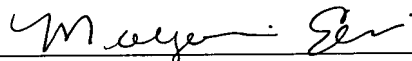
MAILING

☒ The attached correspondence is being hand deliver by Cantwell and Paxton, Inc. to Box PCT Commissioner for
Patents, Washington, D.C. 20231.

37 C.F.R. § 1.8(a)**37 C.F.R. § 1.10***☐ with sufficient postage as first class mail.

☒ as "Express Mail Post Office to Addressee"
Mailing Label No: E US_ (mandatory)

TRANSMISSION☐ transmitted by facsimile to the Patent and Trademark Office.


Signature

Marjorie Ellis

Date: November 16, 2001

(type or print name of person certifying)

(Statement under 37 C.F.R. § 3.73(b) - Establishing Right of Assignee to Take Action [16-16]-page1)

09/926532

1. The assignee(s) of the entire right, title and interest hereby seek(s) to take action in the PTO in this matter.

IDENTIFICATION OF ASSIGNEE

BASF COATINGS AG

2. _____
Name of assignee
CORPORATION

Type of assignee, e.g., corporation, partnership, university, government agency, etc.

PERSON(S) AUTHORIZED TO SIGN

3. Mary E. Golota, 36,814
(type name of person authorized to sign on behalf of assignee)
Senior Attorney
Title of person authorized to sign

(complete the following, if applicable)

☒ I, the person signing below, state that I am empowered to sign this statement on behalf of the assignee.

BASIS OF ASSIGNEE'S INTEREST

Ownership by the assignee is established as follows:

- A.
- ☐ An assignment from the inventor(s) of the matter identified above, which was recorded in the PTO at
Reel _____, Frame _____.
 - ☒ An assignment (document) separately being submitted for recordal herewith.

AND/OR

- B.
- ☐ A chain of title from the inventor(s) to the current assignee as shown below:

1. From: _____
Name of inventor(s)
To: _____

Recorded in PTO:
Reel _____ Frame _____

(check item below, and add details, if applicable)

☐ Additional documents in the chain of title are listed in the attached Supplemental Sheet.

COPIES OF DOCUMENTS IN CHAIN OF TITLE

(complete this item, if copies are being sent)

☐ Copies of the assignment(s) or other document(s) in the chain of title are attached as follows:

☐ A

☐ 1

☐ 2

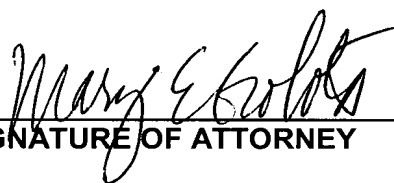
☐ B

☐ 1.

☐ 2

☐ 3.

Reg. No.: 36,814


SIGNATURE OF ATTORNEY

Mary E. Golota
Type or print name of attorney

Tel. No.: (248) 948-2020

BASF Corporation
26701 Telegraph Road
P.O. Address

Southfield, Michigan 48034-2442

Customer No. 26922

26922-2442

09/926532

PATENT

(Practitioner's Docket No. IN-5538)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Uwe MEISENBURG et al.

Serial No.: This application is a National Phase of
Patent Application PCT/EP00/04807 filed 26. May
2000.

Group Art Unit: Not Assigned

Filed: November 16, 2001

Examiner: Not Assigned

For: COATING MATERIAL THAT CAN BE CURED THERMALLY OR BY ACTINIC RADIATION, AND ITS
USE

Commissioner of Patents

Washington, D.C. 20231

CERTIFICATE OF MAILING FOR HAND DELIVER

I hereby certify that the attached correspondence comprising:

| | | |
|-------------------------------------|--|--|
| <input checked="" type="checkbox"/> | English Application PCT/EP00/04807 | |
| Specification on | <input type="text" value="36"/> pages; | claims on <input type="text" value="03"/> pages; |
| the abstract on | <input type="text" value="01"/> page(s); | drawings on <input type="text" value=""/> page(s). |
| <input checked="" type="checkbox"/> | German Application PCT/EP00/04807 | |
| Specification on | <input type="text" value="36"/> pages; | claims on <input type="text" value="04"/> pages; |
| the abstract on | <input type="text" value=""/> page(s); | drawings on <input type="text" value=""/> page(s). |
| <input checked="" type="checkbox"/> | Cover page of Priority Document | <input type="text" value="01"/> Page(s) |
| <input checked="" type="checkbox"/> | Combined Declaration and Power of Attorney | <input type="text" value="05"/> Page(s) |
| <input checked="" type="checkbox"/> | Cover page of Published PCT-application | <input type="text" value="01"/> Page(s) |
| <input checked="" type="checkbox"/> | Information Disclosure Statement | |
| <input checked="" type="checkbox"/> | From PTO-1449 | |
| <input checked="" type="checkbox"/> | Cited References | |
| <input checked="" type="checkbox"/> | International Search Report | |
| <input checked="" type="checkbox"/> | Post Card | |
| <input checked="" type="checkbox"/> | Preliminary Amendment under 37 CFR §1.115 | <input type="text" value="09"/> Page(s) |
| <input checked="" type="checkbox"/> | Statement under 37 CFR §3.73(b)- | <input type="text" value="03"/> Page(s) |
| <input checked="" type="checkbox"/> | Recordation Form Cover Sheet (Patent Only) & Assignment | <input type="text" value="08"/> Page(s) |
| <input checked="" type="checkbox"/> | Patent Application Data Sheet | <input type="text" value="01"/> Page(s) |
| <input checked="" type="checkbox"/> | Transmittal Letter to the United States Designated/Elected Concerning a Filing Under 35 USC 371 in duplicate | <input type="text" value="02"/> Page(s) |

is being hand deliver Cantwell & Paxton, Inc. to the Box PCT Commissioner for Patents,
Washington, D.C. 20231.

on November _____

signature

(type or print name of person certifying)